

Attachment IV

WIA ANNUAL REPORT

General Instructions

Each State must prepare an Annual Report describing the accomplishments of the State's WIA programs. The report should be designed to communicate WIA accomplishments to Congress and other workforce development stakeholders. The Department of Labor's Employment and Training Administration (ETA) will provide Congress with a copy of the Annual Report submitted by each State and publish each State's report on its Internet web site.

To provide States with the flexibility to develop an effective format for the Annual Report, ETA will not establish specific guidelines for preparation of the report beyond the elements required in the Workforce Investment Act (WIA). States are encouraged to design reports that make extensive use of graphics and other communication devices so that the report is useful to all stakeholders, including Congress, Governors, state legislators, workforce investment boards and the public. For example, States may want to include "success stories" that focus attention on successful programming for participants, employers and communities, format the document in a style similar to a private sector's report to stockholders and think of the document as an Annual Report.

The Annual Report should be designed to meet the requirements of Section 136 (d)(1) of the Workforce Investment Act, which calls for each State that receives an allotment under §127 (youth activities) or §132 (adult and dislocated worker activities) to prepare and submit an annual report to the Secretary.

ETA will use the information on the core and customer satisfaction indicators that States provide in the Annual Report when determining incentives under §503 and sanctions under §136(g). Therefore it is essential that States display this information in a clear and unambiguous way. For example, States may want to include an Appendix that shows the performance indicators for the State and each local area in a tabular format.

In meeting the requirements of §136(d)(2), States should not provide an exhaustive display of data. Instead, they should choose information in each of these areas that is most useful for conveying the accomplishments of the State's WIA programs. ETA will obtain detailed information on many of these items in the WIA Standardized Record Data (WIASRD) and, thus, detailed data need not be displayed in the Annual Report.

Specific Instructions

The Annual Report is to be submitted according to the following guidelines:

- **Checklist.** States shall review the following checklist to ensure these items mandated by the legislation are included in their Annual Reports. States submitting annual progress reports that cannot be validated or verified as accurately counting and reporting activities in accordance with the reporting instructions, may be treated as failing to submit annual reports, and be subject to sanction (WIA Section 667.300 (e)(2)). Sanctions related to State performance or failure to submit these reports timely cannot result in a total grant reduction of more than five percent. Any sanction would be in addition to having to repay the amount of any incentive funds granted based on the invalid report.

9 **State Performance**

The progress of the State in achieving State performance measures, including information on the levels of performance achieved by the State with respect to the core indicators of performance and the customer satisfaction indicators. (WIA §136(d)).

States must provide information on both the numerator and denominator for each core performance indicator so that the information can be aggregated over States to provide national estimates. It should also include information on the negotiated levels of performance. For the two customer satisfaction indicators, States must include the survey results, number of surveys completed, the sizes of the samples, and the numbers of individuals eligible for the survey from which the samples were drawn.

9 **Local Performance**

The progress of local areas in the State in achieving local performance measures, including information on the levels of performance achieved by the local areas with respect to the core indicators of performance and the customer satisfaction indicator (WIA §136(d)) following the guidance provided in the State Performance section of the checklist.

9 **Status of State Evaluations**

The status of State evaluations of workforce investment activities described in §136 (e) --results of evaluation studies conducted

under subsection, to promote the efficiency and effectiveness of the statewide workforce investment system in improving employability for job seekers and competitiveness for employers.

The Annual Report should also include the information requested in §136(d)(2), including information relating to:

- 9 **Training-Related Employment**
Entry by participants who have completed training services provided under section 134(d)(4) into unsubsidized employment related to the training received;
- 9 **Wages at Entry Into Employment**
Wages at entry into employment for participants in workforce investment activities who entered unsubsidized employment, including the rate of wage replacement for such participants who are dislocated workers;
- 9 **Cost relative to Effect**
Cost of workforce investment activities relative to the effect of the activities on the performance of participants;
- 9 **12 Month Retention**
Retention and earnings received in unsubsidized employment 12 months after entry into the employment;
- 9 **Comparison of Results of Those Who Received Training and Those Who Received Other Services**
Performance with respect to the indicators of performance specified in subsection (b)(2)(A) of participants in workforce investment activities who received the training services compared with the performance of participants in workforce investment activities who received only services other than the training services (excluding participants who received only self-service and informational activities);
- 9 **Outcomes for Special Populations**
Performance with respect to the indicators of performance specified in subsection (b)(2)(A) of recipients of public assistance, out-of-school youth, veterans, individuals with disabilities, displaced homemakers, and older individuals;

9 **Cost of Activities**

As required by WIA §185(d)(1)(D), States shall submit costs information for:

core services - (including costs for both types of core services- that do not require registration (informational and self-service) and those that do require registration);
intensive services; and
training services; and

9 **Assurance of Provision of Annual Reports to The State and Local Boards**

The Secretary plans to post these annual reports on a web site. In accordance with the Act, the Secretary will send copies of the State's Annual Report to each local board and to the State Board if the State does not submit assurance that this has been accomplished by the time of submission to the Secretary.

- **Due date.** The report is due September 30 following each program year. For example, the report for Program Year (PY) 2000 will be due September 30, 2001. Those States that implemented WIA in PY 1999 will submit their first report September 30, 2000. States will probably want to begin planning their Annual Reports, writing "Success Stories", contracting for publication, etc. before outcome data becomes available in order to meet the deadline for submission. Since Section 667.300 (e)(1) of the WIA Interim Final Rule (20 CFR Part 652, et. al.) states that: "A State failing to submit any of these annual performance progress reports within 45 days of the due date may have its grant (for that program or all title I, subpart B programs) for the succeeding year reduced by as much as five percent, as provided by WIA section 136 (g)(1)(B)."
- **Scope.** The report will cover services provided under Title I-B of WIA, including services provided using local funds, statewide funds, and National Emergency Grant funds. States may also include information about partner programs and on how WIA and partner programs are collaborating to provide workforce development services.
- **Time Period.** Although the primary focus of each report will be the program year just completed, information about previous program years may also be included. In particular, States may include information on performance indicators from previous years, both to show progress and to provide information that was not available when previous Annual Reports were prepared.

- **Annual Report Tied to Individual Records.** The performance information provided in the annual report will be based on the data from the individual records provided to the Secretary.
- **Calculation Process.** To provide consistency among States, information on the core indicators of performance and the customer satisfaction indicators must be determined according to the specific instructions in TEGl 7-99, which provides definitions and calculation instructions for the core and customer satisfaction indicators.
- **Information Format.** In the Annual Report, the State will provide information on both the numerator and denominator for each performance indicator so that the information can be aggregated over States to provide national estimates. It should also include information on the negotiated levels of performance.
- **Report Format.** States shall provide ETA with:
 - 9 Three printed copies of the report, one to forward to Congress and one each for ETA's national and regional office.
 - 9 A computerized copy of the report in a format usable for inclusion on ETA's web site. Acceptable formats include WordPerfect, Microsoft Word, Acrobat, and other commonly used formats.